Acquisition Program Transition Workshops

An Element of the DSMC Program Manager Mission Assistance Capability

A Guide for Government and Industry Program Managers

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Department of Defense
Defense Acquisition University
Fort Belvoir, Virginia

Foreword

This Guide addresses Acquisition Program Transition Workshops (APTWs), an element of the Office of the Under Secretary of Defense (AT&L) Program Manager Assistance Capability. This book is the first of a series of guides that together will describe the entire Program Manager Assistance Capability. The Guide presents observations and experience to assist government and industry PMs and workshop facilitators in planning and conducting of such workshops. This document is based on the lessons learned from the application of APTWs processes in support of the management activities of DoD acquisition programs starting at a post-Milestone (M/S) A, B or C contract award or a special event such as a Nunn-McCurdy restart (Section 2433a, Title 10 USC) for a MDAP having critical cost growth where USD(AT&L) elects not to terminate. Each consulting effort is tailored to the needs of both the government and industry program managers.

This book is one of many technical management educational guides written from a Department of Defense perspective; i.e., non-Service specific. These guidebooks are written for current and potential acquisition management personnel who are familiar with basic terms and definitions employed in program offices. The guidebooks are designed to assist government and industry personnel in executing their management responsibilities relative to the acquisition and support of defense systems.

For this first edition of the Acquisition Program Transition Workshops October 2011, the primary DAU authors are CAPT Jesse Stewart, U.S. Navy (Ret.), CAPT Norman S. Bull, U.S. Navy (Ret.) and Mr. John Krieger.

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Executive Summary

This Guide is intended to scope and define the Defense Acquisition University (DAU) role in facilitating Acquisition Program Transition Workshops (APTWs) as promulgated by USD(AT&L) memo of April 1, 2011, and in Section 11.15. of the Defense Acquisition Guide (DAG).

APTWs are a means to quickly establish an effective working relationship between government and industry program offices immediately after contract award and encourage maximum use of the Workshops. USD(AT&L) recommends that program managers of all ACAT 1D/1AM and special interest programs plan to conduct APTWs within the first few weeks following contract award. In practice, APTWs have now become a potential post-contract-award event, as needed, by the government program manager (PM), for each of the DoD acquisition milestones or other significant program events. Requests for Workshops from other programs will be entertained as resources allow.

The above memo and DAG Section 11.15 state that program managers should contact DAU in a timely manner to facilitate workshop planning and the execution processes. It also notes that information regarding APTWs should be included in the RFP, Statement of Work (SOW) and ACAT 1D/1AM program managers should address APTWs in their pre-RFP briefings to possible respondents.

Accordingly, DAU offers APTWs services to government and cooperating industry PMs overseeing Department of Defense acquisition programs. The Workshops are in the form of a customer-tailored management counseling/consulting service as part of the DAU Mission Assistance (MA) program. The included processes of planning for program execution can apply at any point within a program. However, APTWs are most applicable to the days and weeks immediately following contract award at Milestone (M/S) A, B, C or a special event such as a Nunn-McCurdy restart/rebaseline to align the government and contractor teams.

This Workshop Guide leads the joint government/industry team through the initial stages of team alignment for a pending major event within the program. Emphasis is given to "hands on" activities for the PMs and IPTs. The government teams also may use the workshop methodology to refine the internal government processes for program execution.

The Guide also is intended for use by Defense Acquisition University (DAU) faculty members facilitating an APTW. In this regard, the Guide offers methods for (1) the support of the government and willing industry program managers in aligning their teams to successfully execute the contract, and (2) thoroughly addresses many of the most critical "core" aspects of program startup planning. The principles stated in this Guide are focused on customizing and implementing a programwide, planning process for DoD and industry.

A Note to Program Managers and IPT Members

This note to program managers and their IPT members addresses the all-important PM pre-workshop agenda setting and workshop preparation activities. Included are PM self-training, the need for the PM to train the PMO staff for the workshop, and ensuring all government personnel understand and accept the need for complete, long-term alignment of PMO IPTs with the contractor's IPTs. This means government personnel are trained and have the tools to accept a commitment to engage (during the workshop and afterward) in a high-energy, concentrated, product-oriented effort to ensure the system is delivered as specified in the contract.

PM Self-Training/Preparation: Self-train by first researching and planning two PM workshop action items. The first is to train your staff prior to the workshop stressing the desired outcomes from the workshop. Second is the origination of a workshop agenda to be coordinated with your industry counterpart. The top priority of each action is the need to think about what constitutes IPT alignment. Achieving the alignment goal is fundamental to a worthwhile and productive workshop. Plan what to tell your staff in this regard and how to stress the need for team preparation.

Next, think about and instruct your PMO team on a structured IPT process to use when engaged with the industry IPTs. This should not be just a briefing. This should be training. Train your IPT members on what they need to do. Instruct them on the product you would like to have them jointly deliver at the conclusion of their workshop effort and beyond. Of course, the two teams will have to negotiate this process once engaged, but with assurance that the negotiated process will still lead to the desired product. Your instructions to your IPT members, as coordinated with your industry counterpart, must also include the need for your IPT Lead to consult with you early in the Workshop process when agreements cannot be reached.

Your IPT team members will touch on and prepare in the workshop for the "road to" or the "processes" associated with EVM, Metrics, IBR, PDR or CDR, and Risk with an emphasis on Milestones A and B. Your team needs to understand the level of emphasis you wish to be placed on these topics within the IPT discussions. They need to comprehend the applicable processes/directives and the ultimate and/or continuing products that will flow from these important and required efforts that will impact every IPT.

Chapter 8 Production and Deployment Phase addresses workshop activities just before and after Milestone C.

The establishment by each IPT of a method for routine, regular and structured communication for the life of the program is essential. To enhance the timeliness of status information in this effort, use of uncertified EVM data could be considered.

IPT Team Members: As an IPT team member, you and your PM need to feel you have been trained to perform in a joint government/industry IPT collaborative effort. You should want to do your IPT job and know you will be held accountable for doing it. You need to truly understand what alignment means. You need to know the IPT process your PM wishes to use, as negotiated with the industry IPTs. This point cannot be overemphasized. Failure of government IPT team members to know a process, your PM's process, has all too often led to unsatisfactory deliverables from Workshop IPTs. Further, it is important that team members have an understanding of the enhanced results from IPTs that have a product vs. a functional orientation.

Summary: The PM needs to train his or her workshop participants on what is needed and expected of them in terms of workshop deliverables and continuing cooperation. This cannot be just a briefing. The concept of long-term team alignment and regular/planned communication will be essential to achieving satisfactory performance by both the government and industry.

1 Introduction

References:

(a) USD(AT&L) Memo of April 1, 2011. Subject: Use of Acquisition Program Transition Workshops (APTWs).

(b) Defense Acquisition Guidebook (DAG), Chapter 11.15. Acquisition Program Transition Workshops (APTW).

Working in partnership, DAU and Raytheon Co. developed the Acquisition Program Transition Workshops at the request of the president of DAU and Raytheon to improve the program startup process. A further partnership with the National Defense Industrial Association became a key part of the 2009 program of transition assistance. Much of this document is based on these efforts and subsequent lessons learned from DAU-conducted workshops.

Specifically, the APTW is intended to:

- Create an environment of teamwork, collaboration, communication and trust.
- Be held soon (three to six weeks) after contract award.
- Be conducted jointly with government/contractor teams.
- Be a high-energy concentrated effort over 2½ to 4 days.
- Align government and contractor startup activities.
- Focus on improved program execution and communication.

The Guide is organized so the reader can use it to conduct a complete program startup planning process, or it can be used as a reference manual to address planning for specific modules as needed. The term "startup" is inclusive of any point in a DoD acquisition program.

As noted above, methodology for conducting the Acquisition Program Transition Workshops is grounded in several activities that call for government and contractor teams to work through a process of alignment. This means part of APTW plan will include DoD and Industry Joint Integrated Product Team (IPT) alignment along product lines more than functional lines. This cooperation and structure is one of the keys to a successful workshop.

Another key is for both PMs to mutually coordinate application level actions that can benefit from "hands-on" coordination and leader attention.

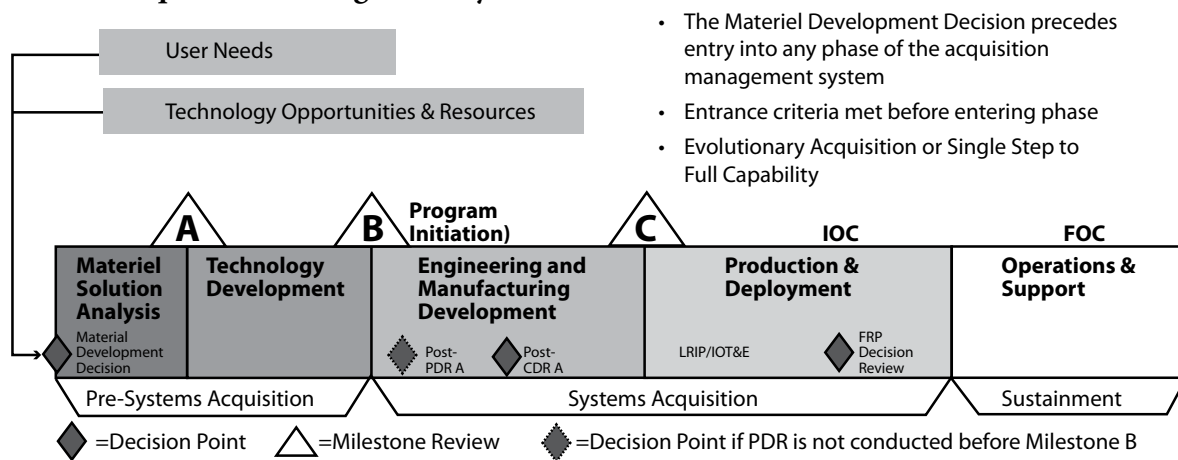*These are action items the government PMO staff members (in a joint IPT context) must want to do if they hope to improve program execution and know that their PEO and PM will hold them accountable for performing—i.e., coordination leading to an IBR, SFR, PDR, CDR, etc.*

The workshops are designed for all major acquisition milestones. Figure 1-1 displays the Defense Acquisition Management System as displayed in DoDI 5000.02.

In summary, a joint DoD/industry APTW is an upfront managerial tool. A properly planned and executed workshop is a positive element for use primarily in the early stages of any program phase but clearly applicable throughout all periods of an acquisition program.

A planned separate DAU Faculty Team Leader Guide will stress some of the detail and flexibility needed in the early coordination, preparation and execution of an APTW. Emphasis is given to the need to understand and address the PM's issues, the importance of being flexible and ensuring the APTW is suited to the unique nature of the DoD offices involved and the defense contractor engaged in program event/transition/startup.

Defense Acquisition Management System

- The Materiel Development Decision precedes entry into any phase of the acquisition management system
- Entrance criteria met before entering phase
- Evolutionary Acquisition or Single Step to Full Capability

Figure 1-1

- Consistent with DoD Instruction 5000.02 and DoD Directive 5000.01, the Program Manager (PM) and the MDA shall exercise discretion and prudent business judgment to structure a tailored, responsive, and innovative program.
- Following the Materiel Development Decision, the MDA may authorize entry into the acquisition management system at any point consistent with phase-specific entrance criteria and statutory requirements. Progress through the acquisition management system depends on obtaining sufficient knowledge to continue to the next phase of development.
- The tables in Enclosure 4 to DoDI 5000.02 identify the statutory and regulatory information requirements for each milestone and decision point. Additional non-mandatory guidance on best practices, lessons learned, and expectations is available in the Defense Acquisition Guidebook, which is frequently modified and updated to reflect the latest guidance from the Under Secretary of Defense (AT&L).
- Procedures associated with Acquisitions of Services and with Defense Business Systems are described in Enclosures 9 and 11, respectively of DoDI 5000.02.

This Guide supports, structures, and implements the provisions of references (a) and (b) within DAU.

2 Importance of Acquisition Program Transition Workshops

2.1 Why a Program Transition Workshop?

Program Managers, both government and industry, who make the decision to employ an APTW have made a significant and positive decision to enable the transition from solicitation and proposal activities to contract work. The APTW is an opportunity for aligning teams from the selecting, winning and awarding a contract mind-set to overseeing and executing a DoD acquisition program. Similarly, an APTW can enable disciplines, activities and reviews that tend to occur in the middle of a given acquisition phase.

Note: As stated earlier in the Guide, the reader should be aware that an APTW, properly prepared for and executed, is a demanding task! Extensive preplanning is required.

Observation and experience have clearly shown that all too many DoD programs struggle or have even failed because of unrecognized problems that already existed or quickly evolved immediately after contract award. This statement applies to both government and industry. Examples of such problems are:

- Lack of a common (government and industry) vision and plan for success
- Lack of a common supportive environment
- Lack of comprehension of and mutually agreed to Performance Measurement Baseline (PMB) and risk and/or opportunity identification and resourcing
- Failure to give sufficient priority to the need for working together to start a new program

2.2 Background

Conclusions flowing from these observations led the Office of the Secretary of Defense, the Defense Acquisition University and members of the defense industry to take action aimed at enhancing the process for new program startups and programs in a transition process. A workshop format appeared to be a feasible format to meet this need. The workshops were intended to:

- Create an environment of teamwork, collaboration, communication and trust between the government and industry PMs and their staffs.
- Be held soon (3 to 6 weeks) after contract award, or as required to improve team alignment.
- Be jointly conducted with government and contractor teams.
- Be a high-energy concentrated effort over 2½ to 4 days.

Working within the previously noted government/industry partnership, a format and content for an Acquisition Program Transition Workshop was developed in 2003. A number of workshops

have been executed in the subsequent years. The National Defense Industrial Association, Acquisition and Technology Program have given emphasis to the workshops since 2008.

2.3 What Has Been Learned

As will be addressed in more detail later in this Guide, a new acquisition contract is a cultural change for many of the government and industry PMs, and in some cases their staffs. From several years of experience, DAU has found that preparing for a workshop after contract award is a difficult task for the following reasons:

- Neither the government nor industry is typically well prepared to align processes and teams.
- Lack of a workshop definition in the RFP.
- Government failure to model PM office contract execution behavior prior to source selection and to communicate expectations.

Recent workshops have further fortified the following lessons:

- Early government/contractor program office (PMO) alignment establishes joint expectations.
- **PM personal planning for and participation in the workshop and IPTs in particular is key to setting up and executing a successful workshop.**
- All workshop efforts by either PM are a burdensome event unless planned well in advance of contract award.
- A workshop is, in fact, joint leadership and management training.
- Workshops are about applying PM basics using contractual materials and DoD-based IPT principles.
- **PMs need to know how to allocate PMO workload and train their people.**
- **PMs must address "hands-on" application level actions** that need to be coordinated with the contractor. These are action items the government PMO staff (in a joint IPT context) must *want to do* if they hope to achieve program success and know that their PEO and PM *will hold them accountable* for performing— i.e., preparation for IBRs, and the SFR, PDR, CDR, etc.

2.4 Core Workshop Activities

Core workshop activities include contractor and government presentations on their processes (e.g., communications plan, event planning and assessments). Also included are near-term activities, such as contract baselines, incentives, change management, program metrics, risk and opportunity management, integrated master plan and scheduling of top-level reviews. These briefings and discussions serve as a basis for in-depth discussions during the IPT module. Preparing IPT charters and complying with the spirit and intent of their content is a mark of commitment to the program. Please see paragraph 5.2 Workshop Methodology.

2.5 Challenges

Challenges effecting workshop structure include program complexity, technology maturity, and government/contractor cultural differences. However, the creation and alignment of the DoD/in-

dustry joint IPTs are the most fundamental and powerful actions to flow from any workshop and should apply across most, if not all, programs.

2.6 A Lesson Learned

Although not a system that has employed the APTW process, the Navy E-2D Advanced Hawkeye airborne early warning aircraft program is an excellent example of the application of joint IPTs. Using proven IPT earned value and communication processes with Northrop Grumman, the Hawkeye PMs achieved significant enhancements in program transparency, near-real-time status reporting, and facilitation of well-understood risk/opportunity-oriented joint PM decisions. Benefits flowed from the joint IPT work on preparation for the Integrated Baseline Review and attention to earned value management. Timeliness in reporting was enhanced by the E-2D PMs receiving comprehensive weekly contractor/staff briefings using *noncertified* but maturing EVM data as well as other metrics.

2.7 Important References

Two interesting and useful studies on the employment of IPTs on DoD weapon system programs include *The Use of The Integrated Product Team in the Naval Tomahawk Cruise Missile Program at The Defense Contracting Management Agency Raytheon* by David H. Kao, December 2000. Click on: www.dtic.mil/dtic/tr/fulltext/u2/a386336.pdf Second, please see GAO's *DoD Teaming Practices Not Achieving Potential Results* of April 2001. A narrative on an interesting IPT success is noted on pages 49–50. Search on: GAO-01-510.

3 Workshop Planning

3.1 Pre-Workshop Considerations/Decisions

Prior to any decision to conduct an APTW, the respective industry and DoD PMs need to meet/communicate and decide if there will be a workshop and, if so, what is to be accomplished in the workshop and what specific actions/activities the government PM may need to coordinate with the industry PM. *This meeting or conference call should occur no later than one week after contract award or the start of a new event.* If the decision is to conduct an APTW or it is stated in the contract, a DAU facilitator should be contacted, or engaged immediately to firm up the three "outputs" noted below. Please see Figure 3-1. It is recommended that provision for an APTW be included in the pre-solicitation briefings, training, the solicitation, the contractor's proposal, and stated in the contract. However, none of these actions may have taken place prior to contract award. Desired outputs from the above PM contacts, meeting and conference call(s), *where the facilitator is included,* should address:

3.1.1 Outputs supporting the PMs needs:
- Defined workshop processes.
- Defined constraints of the workshop, i.e., how the government PM will interact with industry within the bounds of the contract.
- Understanding that the workshop can offer the opportunity to gain mutual perceptions and expectations of each other, staff members, how I work and how you work.
- Both PMs mutually addressing program strengths and barriers to success.

3.1.2 Outputs supporting PMs and the Facilitator:
Agreements on convening a Pre-Workshop Agenda Setting Meeting (Titled Module 0), including: Defined/agreed meeting output.
- Who will attend? (see Appendix A for assumptions for Module 0).
- The scheduling of such a meeting in terms of: where, when, and how long? *(The Pre-Workshop Agenda Setting Meeting, Module 0, should occur within two weeks of the contract award.)*
- A mutual understanding that roughly 90 percent of the workshop is preparation and the PMs finding common "working topics."
- Discussion of a formal support agreement.
- Discussion of government PM provided funding.

3.1.3 Outputs supporting the Facilitator's workshop needs:
- The full support and agreement of the PMs that DAU will facilitate the Program Transition Workshop.
- Support and funding issues are mutually resolved.
- Affirmation that the PMs really want the help the workshop is designed to provide.
- A Pre-Workshop (Module 0) go/no go, decision by the PMs.
- Both PMs recognizing their respective staffs need to train as team for their own purposes in

readiness for the workshop and later in a joint IPT context.

3.2 Workshop Content and Objectives

Figure 3-2 provides an overview of what an APTW is, what it is not, and important individual participants. Best results tend to flow from a workshop when program managers have an agenda or strategic objective. Processes need to be modeled by the PMs to implement their strategies which also are a means of offering leadership. Ideally, prior to contract award, internal alignment of IPTs can occur through transition assist visits between PMs and the DAU facilitator.

3.2.1 Workshop Mechanics are clearly enhanced by pre-RFP planning and post-RFP government PM process training for contract execution which flow from having a workshop clause in the RFP. Please see related comments in Appendix H, Module 3, last paragraph. Next, a pre-meeting session between the PMs is essential to tailor the workshop agenda. This could include several meetings and an expanded post-award conference and workshop. In any event, the principals need to set the tone of the workshop.

3.2.2 Timelines/Events.

Notional Planning Timeline/Events
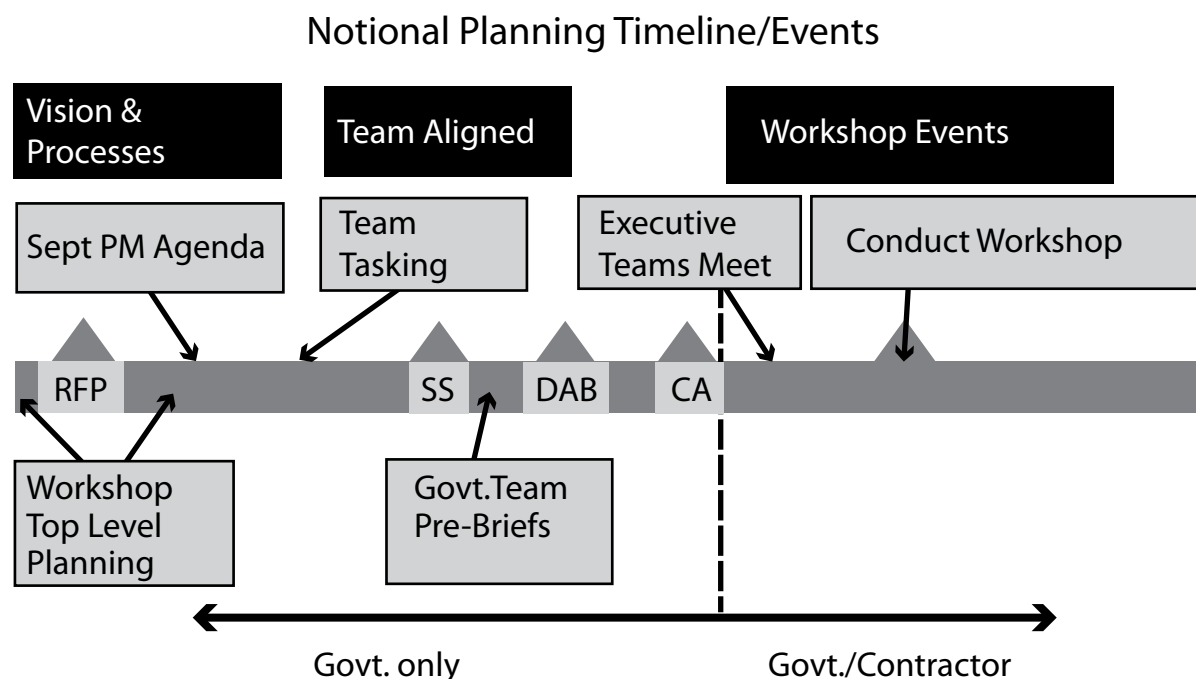
Figure 3-1

What APTW IS:	What APTW IS NOT:	Valuable Participants:

• Alignment of Gov't & Industry
• Clarification & Emphasis:
  -Transparency
  -Communications Plan
  -Key Contract Requirements
  -Baseline Management
  -Mgt Reserve & Incentives
  -Integrated Master Plan (IMP)/Integrated Master Schedule (IMS)
  -Change Management
Data/Workflow Mgt
• IBR Execution Plan
• PMR Process Including Metrics
• Risk Management
• IPT Charters, Responsibilities, etc.
• Other topics Selected By PMs
	• Program Oversight
	• Training
	• Integrated Baseline Review
	• Grading Program Managers
	• Baseline Audit
	• Negotiation of Contract Changes
	• Post Award Orientation or Conference (unless integrated by Gov't into Workshop
	
	Not Just for New Starts!
		• Program Managers
		• Deputy PMs
		• CO/Contracting Head
		• Chief Financial Managers
		• EVM/IBR Leads
		• Chief Engineers
		• Significant IPT Leads
		• DCMA
		• PMs of Major subs
		
		Sponsor/User Rep Facilitation Team

Early Alignment & Mutual Commitment To Program Success		

Figure 3-2

4 The DAU Facilitator

4.1 The Need

Participation in the workshop by an experienced facilitator greatly increases the quality of the workshop output. DAU facilitators are capable of and have filled the coordination role in numerous past workshops. One of the facilitator's initial functions is to offer logical and knowledgeable responses to government and industry concerns that there is no need for a workshop. This is particularly true at the time of contract award when there has been little or no groundwork laid for a workshop in the pre-RFP, solicitation or proposal processes.

4.2 An Independent Third Party

The facilitator can be an asset for both PMs in the sense that he/she will bring less spin (government or industry) into the workshop. However, whatever role the facilitator plays in the workshop will be agreed to by the PMs and the facilitator team lead. Ideally, the facilitator can start working with the PMs in pre-solicitation briefings/meetings. All this lays the groundwork for pre-workshop planning and mechanics. Whether provisions are made for a workshop very early in the process or the possible need only surfaces immediately after contract award, the facilitator can offer positive up-front assistance to the PMs. Initially, this assistance is in deciding the question of whether to conduct a workshop, and if so (see Figure 3.1):

- The role of the facilitator.
- Tailoring the workshop agenda.
- Helping the PMs gain an understanding of each other.
- Addressing range of IPTs, their leads and charters.
- Later, working with IPT leads in reviewing their presentations and coaching the IPT leads.

5 Examples

5.1 Agenda Setting

While proposals are being prepared by industry, the government PM needs to complete prior to contract award a definitive post-RFP process; a plan for contract execution and subsequent IPT process building. Following both PMs (government and industry) communicating and deciding to conduct an APTW (see Figure 3.1), in coordination with a DAU facilitator, a pre-workshop agenda setting meeting should be scheduled (known as Module 0).

The DAU Facilitator should prepare for this meeting by addressing and documenting and coordinating, as a minimum, the following topics:

5.2 Workshop Methodology

The methodology for conducting the Acquisition Program Transition Workshop is grounded in several activities that call for the government and contractor teams to work through a process of alignment. Frequently, this will be a post-Milestone A/B event very soon (3 to 6 weeks) after contract award. As previously noted, workshops can apply whether the program is starting at a post Milestone (M/S) A, B or C award or a special event such as a Nunn-McCurdy restart (Section 2433a, Title 10 USC) for an MDAP having critical cost growth where USD(AT&L) elects not to terminate.

The initial focus of many workshops emphasizes planning for the first or next Integrated Baseline Review (IBR) and Joint Integrated Product Team (IPT) alignment. This means alignment relative to the contract with the focus on outcomes. While the IBR planning is relatively straightforward (see Appendices E and F), aligning the product-related IPTs requires that government and contractor teams quickly move to the operational phase of the contract's pending activities, or to have previously modeled both of their post-award management processes.

Most programs will have several high-priority goals during the first 4 to 6 months after contract award. Appropriate emphasis should be given key events such as preparation for an IBR and the conduct of a PDR as required.

In executing an actual workshop, the IPT portion is planned as the last activity requiring team interaction (information briefings could be later). In the workshop, this activity is planned to last a minimum of 4 hours—normally 6 to 8 hours. Desired inputs to the workshop are joint IPT charters and a plan for facilitating the alignment of the government team organization with the contractor's team for management purposes. This includes assigning teams the appropriate work breakdown structure items for them to manage, a joint risk/opportunity register with owners appropriately identified, and an integrated master schedule to be later integrated with the earned value management system. IPTs should also have available or create a draft PM/IPT communications plan and metrics for weekly and monthly reporting. Completion of these actions indicates the availability of a mature set of processes from which the program managers can oversee the

work done using both the contractor's management processes and later the earned value management system.

While all the above processes will not necessarily be in place at the time of the workshop, or on completion of the workshop, they must be a clear and timely goal of each IPT. This means the IPTs during the workshop, at a minimum, should identify their responsibilities, authority, interdependencies, and express an understanding of allocated work. Goals also include establishing co-IPT lead roles and responsibilities, noting risks/opportunities, reviewing IMS linkage to the EVM system, structuring communications plans, and addressing deliverables. Discussing these items in the post-milestone or event-orientated workshop and early in the contract establishes a management system, running from the PM through the IPTs, and allowing for the management of the program based on work performed at work package fidelity.

Note: If the program office (either government or contractor) has not carefully thought out the transition process of all activities leading to source selection, contract award, contract execution and their management methodology, completing the IPT module may be a difficult task.

5.3 Workshop Flow and Modules
The flow of the workshop can be tailored as needed by the PMs. The facilitator should strive to ensure the PMs needs are met while offering advice based on prior experience. Please see Figure 5-1 for a generic graphic of workshop flow. Closely related to flow is the selection/designation of appropriate workshop participants. These are people in key leadership positions. Caution should be exercised here to limit attendees to the number suggested in Figure 5-2 in order to avoid the workshop deteriorating into a social event.

5.4 Further Detail
Appendix A, Module 0, contains detailed planning elements for the pre-workshop agenda setting meeting.

5.5 Post RFP Government Program Process Definition and Modeling
Minimizing the disruptive impact of a transition workshop occurs when the government program office establishes the processes and then tasks the team to model the expected contract execution. Key events for the government PM are:
- PM and PMO Leadership establish contract execution philosophy; e.g., IPT roles, communications plan draft and review processes.
- Map IPT and PMO members to product and functional tasks.
- Participate with the workshop facilitator to address a workshop agenda and notify contractor of expected outline after award.
- Facilitate work with key leaders to establish workshop content outline. Key leaders develop content.
- Team leaders pre-brief content to PM prior to contract award.

- Have team prepared to contact winning contractor team soon after contract award.
- Schedule and execute workshop with contractor(s).

Workshop Flow

➢ **Workshop Introduction (Challenges & Vision)**
  - Executives, PMs, Sponsors and/or Users/Facilitators

➢ **Topic Introduction**
  - DAU/Industry Facilitator—Areas for Module Discussion
  - Govt. and Contractor present their Baseline Processes/Progress for applicable module(s) & discussion

➢ **IPT Chartering Session**
  - Charter Updates   - Near Term Deliverables
  - Risk Register   - Responsibility & Accountability
  - IMP/IMS issue   - IBR Planning
  - GFE review   - Communications/Workflow Plan
  - IPT Contractor/Govt. Co-leads brief Joint Charter, Issues and Actions

➢ **PMs Establish Workshop Action Items**

Figure 5-1

Workshop Participants—
More Attendees Means Program Socialization!

Prime Program Team	**15 - 25**
Subcontractors	**2 - 6**
Govt. Program Team	**10 - 15**
Resources Sponsor	**1 - 3**
DCMA	**1 - 2**
DAU & Corporate	**4 - 6**
TOTAL	**33 - 57**

Key Leadership Team Members

Figure 5-2

6 Communications

6.1 The Communications Plan—An Essential!

The communications plan is very important and can start with individual notes on possible communication issues.

Certain assumptions are necessary:
- Are IPT structures available?
- Are IPT charters available?
- Are both formal and informal communication channels operating simultaneously?
- Is compatibility established for contractor/government team data/workflow?

Module objectives: (See Appendix N)
- Develop team communication plans.
- Agree on a method to orient new team members to the program.
- Identify management techniques and a resolution model for team conflict.
- Preliminary collaborative workflow processes identified.

Inputs/prerequisites:
- Determine what information needs to be communicated before identifying how this information will be exchanged (design the process to fit the requirement).
- Facilitator and PM actions.
- Contractor internal/external early warning system.
- Government processes for streamlining and facilitation of contractor request and contracting actions, e.g., ECP review or CDRL expediting.
- Mechanisms for establishing facts, drawing conclusions, and making logical recommendations relative to appropriate and timely corrective actions.
- Use assumptions only when facts are not available. Assumptions must be valid, i.e., they will make a difference if they fail to come true.
- Draft IPT charters and assignments.

7 Workshop Modules

7.1 Tailor the Modules

The workshops should be tailored to the acquisition program, asking for the startup support available within the processes broadly defined by this Guide. Obviously, such support and the APTW structure will depend on several variables, including type system, acquisition phase, immediate milestone, ACAT level, special interest and other issues unique to the program. Figure 7-1 (for M/Ss A and B) and Figures 8-1 and 8-2 (for M/S C) provide a generic DAU 10-module workshop. In the generic configuration, Module 5 Integrated Product Team (IPT) Structuring and Chartering is highlighted. This is because the work by these product-oriented IPTs in terms of government/contractor team alignment and the pending IBR and EVM activities are essential elements in attaining program success.

7.2 Content

The Appendices contain a formatted outline for workshop Modules 1 to 8 as presented in this Guide plus Modules 0 and 9. The module formatted outline topics are titled: Administrative, Assumptions, Objectives, Inputs/Pre-requisites, Module Content and Outputs/Reports. In two cases, a DAU facilitator's checklist is also offered in the Appendix for Module 0 Pre-Workshop Agenda Setting Meeting and Module 3 Contract Baseline: Change/Scope Management and Subcontract Management. Three PM checklists are offered in the areas of design reviews, communications and risk/opportunity management.

7.3 Key Workshop Areas for Emphasis

Although each workshop module includes recommended inputs, outputs, objectives and content, the PMs' and DAU Facilitator's attention is directed to emphasizing three modules that heavily impact the entire workshop.

7.3.1 First, are the inputs and outputs for Module 0, the Pre-Workshop Agenda Setting Meeting. This meeting should include:

Inputs—
- Draft program plan and schedule (IMP/IMS).
- Draft risk/opportunity management plan as addressed in the form of a CDRL.
- IPT charters (See 7.3.2 below for detail).
- Draft IBR roadmap (prepared as pre-work, See 7.3.3 below) with related IPT tasks.
- Linkage of IPTs to IBRs anticipated risk/opportunity identification and Performance Measurement Baseline assessment in the areas of:
    - —Technical risk.
    - —Schedule risk.
    - —Management process risk.
    - —Opportunities to be exploited, shared, enhanced or accepted.
- The contract. Have copies available.

Outputs—
- Team commitment to a structured and disciplined startup process.
- Government expectations for IBR defined.
- Integration points between government and industry startup processes identified and listed.
- IPT operating processes and action areas defined.
- Validated IBR roadmap (startup plan) plus other needed key goals.
- *Government PM has clearly told the DAU facilitator what is wanted out of the APTW.*

7.3.2 Second is the Module 5 activity impacted by Module O planning activity for Integrated Product Teams (IPT), Structuring and Chartering and Execution. Within Module 5, some of the resulting activities of interest that should be planned for and ultimately executed are:
- IPTs finish charter and discussions.
    —Use charter template either as a reference or as the charter document. Module 5, Figure M-5-1.
    —Provide copies of completed charter to PMs, leadership teams and facilitator.

- Briefing template.
    —Develop and study IPT action items.
    —Example—Government risk concerns applicable to each IPT.
       - How would your IPT address the applicable risks?
       - Brief-out to government and industry PMs.

7.3.3 Third, is the draft IBR roadmap. See Figure 7-2 and references listed in Appendix E, Module 2, Inputs/Pre-requisites.

The IBR roadmap is a very important APTW function. The roadmap represents the early stages of preparation for IBR planning. It should include nomination of selected control accounts or work package levels for review, suggested summary level risk/opportunity discussions, names and positions of likely industry and government IBR team members (by IPT), establish minimum needed training, etc. The following quotation is from the DoD EVM Implementation Guide, October 2006, paragraph "2.4.5 IBR Team." It clearly applies to both the industry and government PMs and their teams and states:

"The IBR is a function of program management, not a financial or cost review. Therefore, OSD policy specifies that the PM plan the IBR, serve as the IBR team chief, and actively manage the IBR team. The primary team members are the IPT members of the PMO (edit: both industry and government) who have been given the integrated responsibility for managing a WBS element(s). The selection of control accounts for the IBR drives the selection of these primary team members. The PM should select individuals for the IBR team who are experienced with the technical disciplines and programmatic issues under review."

For the APTW, the IPTs performing early IBR planning should be the same joint teams from the industry and government program offices as will later perform the actual IBR(s).

7.4 Program Success Factors/Pitfalls—The Bottom Line

At the start of the workshop, an exercise to identify the driving forces (success factors—good points) and restraining (problems, pitfalls—bad points) affecting the successful execution of the program will baseline the viewpoint of the program leadership. This exercise can be used throughout the workshop to gauge progress in alignment.

7.5 Acquisition Document Development and Management

An acquisition document program that has the potential for broad application throughout DoD is a U.S. Air Force initiative titled the Acquisition Document Development & Management (ADDM). It is intended to assist the Air Force acquisition community with preparing the documentation needed to meet the next milestone. ADDM (currently available but still a work in progress) will standardize the Air Force process to meet the next milestone by providing a single point for access to document templates, guidance, reference and instruction. ADDM will have the capability to auto-populate related content to several documents—and if the content changes in one document, the changes will propagate to all related documents. To achieve this goal, ADDM is to provide an automated capability for the Air Force Acquisition Domain (AcqDom) to manage the development, integration, tailoring and status reporting for acquisition documents supporting milestone reviews and decisions. As previously noted, the program appears to be broadly applicable to all DoD acquisition program managers. Department of the Army and Navy users will want to research the corresponding DoD and their Service Directive, Instruction or Regulation that is the basis of the documentation req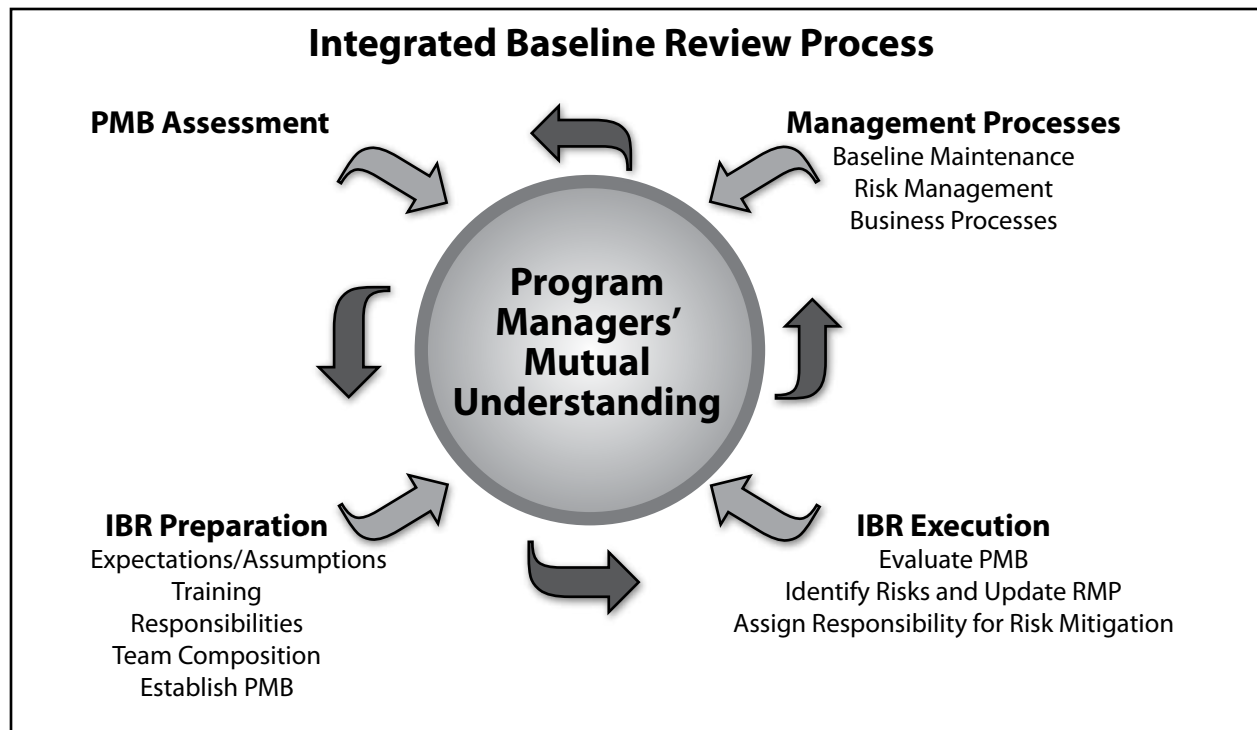uirement. This is a secure site and may be found at: https://afm.wpafb.af.mil/community/views/home.aspx?Filter=AF-AQ-00-04 Another broadly applicable site is: https://sam.dau.mil/news.aspx

Module 0 to 9 Post-Milestone A/B Workshop Overviews

Module Title	Workshop Products Captured
Module 0: Pre-Workshop Agenda Setting Meeting	**Agreements on:** Whether to convene a Workshop Orientation Meeting-Module 1, defined/agreed meeting output, who will attend, scheduling in terms of where, when, and how long.
Module 1: Workshop Orientation	**Create** an environment of teamwork, open communication and trust; state agenda and objectives; educate all on effective program startup actions; key program startup products; program success factors; problem areas.
Module 2: New Program Startup Plan to Integrated Baseline Review (IBR)	**Validated** IBR roadmap (Startup Plan) and link to other actions; IMS/IMP critical path analysis; list of action Items and POCs; program analysis to determine maturity level (potential side meeting on processes).
Module 3: Contract Baseline; Change/Scope Management; and Subcontract Mgmt, Dispute Resolution	**Introduce** Gov't/Indust Contracting Officers; establish a mutual understanding of work to be done; current program status; how to manage and control contract changes; managing scope change; subcontracting obligations.
Module 4: Preliminary Design Review (PDR) or other Systems Engineering Reviews	**Planning** and pre-audit prep; conducting configuration audit; MIL-HDBK 61A, Section 8-3; PDR as the allocated baseline; Defense Acquisition Guidebook 4.2.3.1.6.2 & 4.3.2.4.2.3
Module 5: Integrated Product Team (IPT), Structuring and Chartering	**IPT Charters;** Integrated Master Schedule; IPT responsibilities; team inputs to IBR & PDR preparation; CDRLs; IPT communications plan; risk/opportunity management.
Module 6: Communications Planning/Collaborative Workshop	**Communications** content & scheduling; collaborative work processes; problem/conflict resolution.
Module 7: Risk and Opportunity Management	**Documented** risk/opportunity management processes; risk tracking; currently realized risks; root cause analysis.
Module 8: Program Metrics	**Program** metrics;-PoPS tool; Ps; industry metrics.
Module 9: PM's Wrap-up	**Review** established environment of collaboration, trust, teamwork and communication; program leadership team; definitions of success; agreed upon assumptions; how we will work together and our mutual expectations; acknowledge our key interdependencies; what is involved in effective program startup and know what we need to do next.

Figure 7-1

Integrated Baseline Review Process

PMB Assessment

Management Processes
Baseline Maintenance
Risk Management
Business Processes

Program Managers' Mutual Understanding

IBR Preparation
Expectations/Assumptions
Training
Responsibilities
Team Composition
Establish PMB

IBR Execution
Evaluate PMB
Identify Risks and Update RMP
Assign Responsibility for Risk Mitigation

Figure 7-2

8 Production and Deployment Phase

8.1 Principles and Processes

The guidance and procedures noted in Chapters 2 through 7 of this Guide broadly apply to a Milestone C Production and Deployment Workshop. This chapter acknowledges that the program will have advanced from Milestones A and B and thus the specific Workshop products noted in Figure 7-1 has been modified in the corresponding Figures 8-1 and 8-2 of this chapter. Typically, government program managers face three critical changes as the program transitions into production:

1) The major focus of efforts within the government is shifting.
2) Internal government management and decision processes will change.
3) Many of the program's industry leadership and industry workface are different, perhaps even involving a company new to the program.

8.2 Core Milestone C Workshop Activities

Core Workshop activities, as noted in paragraph 2.4 of this Guide, include contractor and government presentations on their processes (e.g., communications plan, event planning and assessments). Also, included are near-term activities, such as contract baselines, incentives, change management, program metrics, risk and opportunity management, integrated master plan and scheduling of top-level reviews. These briefings and discussions serve as a basis for in-depth discussions during the Integrated Product Team (IPT) module. A Milestone C workshop's intent is to offer the opportunity to gain mutual perceptions and expectations between government and industry team members; clarifying the "how I work and how you work" in order to accelerate the program's successful transition. Normally, planning for production contract execution should start in the Engineering and Manufacturing Development Phase. If the government Program Manager has not clearly thought through both the Transition to Production efforts and the accompanying management activities the PM team will execute during production, accomplishing that workshop goal will be quite difficult.

8.3 Workshop Methodology

In executing an actual workshop, the IPT portion is planned as the last activity requiring team interaction. In the workshop, this activity is planned to last a minimum of 4 hours, normally 6-8 hours. Desired inputs to the workshop are joint IPT charters and a plan for facilitating the alignment of the government team organization with the contractor's team for management purposes. This includes assigning teams the appropriate work breakdown structure items for them to manage, a joint risk/opportunity register with owners appropriately identified, and an integrated master schedule to be later integrated with the earned value management system. Also included would be the contractor's Transition To Production Plan and the Production Readiness Review (PRR). IPTs should also have available or create a draft production PM/IPT communications plan and metrics for weekly and monthly reporting. Completion of these actions indicates the availability of a mature set of processes from which the program managers can oversee the work done

using both the contractor's management processes and later the earned value management system.

While all the above processes will not necessarily be in place at the time of the workshop, or on completion of the workshop, they must be a clear and timely goal of each IPT. This means the IPTs during the workshop, at a minimum, should identify their responsibilities, authority, inter-dependencies, and express an understanding of allocated work. Goals also include establishing co-IPT lead roles and responsibilities, noting risks/opportunities, reviewing IMS linkage to the EVM system, structuring communications plans, and addressing deliverables. Discussing these items in the post-milestone or event-orientated workshop and early in the contract establishes a management system, running from the PM through the IPTs, and allowing for the management of the program based on work performed at work package fidelity.

If IPTs or special teams are used in the production phase they will benefit from clear guidance on government expectations. Requiring the teams to generate those expectations from the bottom up will significantly complicate this module.

8.4 Provision for a Workshop and IPT Team Training

Provision for a Workshop is recommended for inclusion in the pre-solicitation briefings, the Low Rate Initial Production (LRIP)/Full Rate Production (FRP) solicitation, the contractor's proposal and then stated in the contract. However, none of these actions may have taken place prior to contract award. This fact should not prevent agreement to hold a workshop. Please see related comments in Appendix H, Module 3, last paragraph.

As stated in the first few pages of this Guide in "A Note to Program Managers and IPT Members," IPT Team members and the PM need to feel they have been trained to perform in a joint government/industry IPT collaborative effort. IPT team members should want to do their job and know they will be held accountable for doing it. The PM and IPT team members need to truly understand what alignment means. IPT members need to know the IPT process the PM wishes to use, as negotiated with the industry IPTs. This point cannot be overemphasized. Failure of government IPT team members to know a process, the PM's process, has all too often led to unsatisfactory deliverables from workshop IPTs. Further, an understanding by team members of the enhanced results that flow from IPTs that have a product/WBS orientation vs. functional orientation is important.

8.5 Functional Matters

The prior paragraph does not mean functional matters are to be ignored by the government team. In production fundamentals, basic functional topics government and particularly industry should have well in hand and confirmed by the government PM include:

• Transition To Production Plan	• Defect control
• Manufacturing Plan	• Tool Planning
• Qualify Manufacturing Process	• Special Test Equipment
• Piece Part Control	• Computer-Aided Manufacturing
• Subcontractor Control	• Manufacturing Screening

These topics should, at a minimum, be addressed in the CDRL exhibit and referenced in the SOW. Greater detail on all these matters can be found at the DAU Acquisition Community Connection. Search on (a) DoD 4245.7-M, Transition From Development To Production; and (b) Department of the Navy Best Practices, The Transition from Development to Production, NAVSO P-6071.

8.6 Tailor the Workshop Modules

The Milestone C Workshops should be tailored to the acquisition program asking for the support available within the processes broadly defined in this chapter and by this Guide. Obviously such support and the Workshop structure will depend on several variables including type system, LRIP or not, ACAT level, special interest and other issues unique to the program. Figures 8-1 and 8-2 provide a generic DAU ten module workshop. In the generic configuration, Module 5 Integrated Product Team (IPT) Structuring and Chartering is highlighted. This is because the work by these product-oriented IPTs in terms of government/contractor team alignment and the pending reviews, IBR and EVM activities are essential elements in attaining program success.

Module 0 to 9 Post-Milestone C Workshop Overviews

Module Title	Workshop Products Captured
Module 0: Pre-Workshop Agenda Setting Meeting	**Agreements on:** Whether to convene a Workshop Orientation Meeting-Module 1, defined/agreed meeting output, who will attend, scheduling in terms of where, when, and how long.
Module 1: Workshop Orientation	**Create** an environment of teamwork, open communication and trust; state agenda and objectives; educate all on effective program production actions; key program documents; program success factors; problem areas.
Module 2: Production Readiness Review (PRR), Transition to Production Plan, Manufacturing Plan and Integrated Baseline Review (IBR)	**Validated** Link PRR, MFG Plan, Transition Plan, MFG IBR roadmap and link to other actions; IMS/IMP critical path analysis; list of action Items and POCs; program analysis to determine maturity level (potential side meeting on processes).
Module 3: Contract Baseline; Change/Scope Management; and Subcontract Mgmt, Dispute Resolution	**Introduce** Gov't/Indust Contracting Officers; establish a mutual understanding of work to be done; current program status; how to manage and control contract changes; managing scope change; subcontracting obligations.

Figure 8-1

Module Title	Workshop Products Captured
Module 4: Road to Operational Test & Readiness Reviews, Physical Configuration Audit (PCA) or other Systems Engineering Reviews	**Planning** and pre-audit prep; conducting configuration audit; MIL-HDBK 61A.
Module 5: Integrated Product Team (IPT), Structuring and Chartering	**IPT Charters;** Integrated Master Schedule; IPT responsibilities; team inputs to IBR & Physical Configuration Audits preparation; CDRLs; IPT communications plan; risk/opportunity management, product/WBS orientation.
Module 6: Communications Planning/Collaborative Workshop	**Communications** content & scheduling; collaborative work processes; problem/conflict resolution.
Module 7: Risk and Opportunity Management	**Documented** risk/opportunity management processes; risk tracking; currently realized risks; root cause analysis.
Module 8: Program Metrics	**Program** metrics;-PoPS tool; industry metrics.
Module 9: PM's Wrap-up	**Review** established environment of collaboration, trust, teamwork and communication; program leadership team; definitions of success; agreed upon assumptions; how we will work together and our mutual expectations; acknowledge our key interdependencies; what is involved in effective Prod/Deployment Phase and know what we need to do next.

Figure 8-2

8.7 The Role of Manufacturing in the Acquisition Process

The Defense Acquisition University *Program Mangers Tool Kit*, current edition, contains an excellent summary of production risks impacting cost, schedule and performance, producibility, quality management, variation reduction and production readiness reviews.

APPENDICES
Module Templates, Selected Checklists
and Lessons Learned
(Not all appendices are referenced in chapter text)

Appendix A—Module 0.
Pre-Workshop Agenda-Setting Meeting

Intent of the Module: *To determine if an APTW is to be held; and, if planned, to establish the readiness of the respective PMs to conduct a Workshop.*

Module Success: *For a planned workshop, agreement between the PMs and the workshop facilitator on items noted below in the Outputs/Reports section.*

Administrative
- Pre-workshop agenda support will be provided by the DAU, DAU facilitator and assisting facilitators.
- Module 0 meeting location, where, when, and how long has been established by the PMs during prior meetings/conference calls that included the DAU facilitator.

Assumptions
- Both program managers' readiness for Module 0 has been confirmed.
- Assisting government and industry facilitators have been identified and are prepared to participate in this Pre-Workshop Agenda Setting Meeting.
- Attendees: PMs/contracting officers/chief engineers/working POCs (optional)/facilitator team.
- Appendix B: DAU Module 0, Facilitator Pre-Workshop Agenda-Setting Meeting Checklist is being executed.
- Workshop will start within three to six weeks after contract award.
- The government PM is in receipt of an Acquisition Decision Memorandum (ADM), taken appropriate action, and none, some or all of the ADM can be shared with the industry PM and the workshop facilitator.

Objectives
- Provide comprehensive overview of the Acquisition Program Transition Workshop (Modules 1-9) to all participants.
- Define and assign workshop administrative tasks.
- Select workshop participants.
- Establish a start date for the workshop (Within 3 to 6 weeks after contract award)
- Determine structure and maturity of IPT charters (government and contractor)

- Explain workshop's facilitation team roles.
- Reaffirm workshop objectives and tailor workshop agenda (Modules 1-9, as adjusted/required).
- Define and assign workshop participant's roles.

Inputs/Pre-requisites (All Facilitator Actions)
- PMs identified and committed to the workshop activities.
- Structure pre-workshop agenda-setting meeting kick-off and introductions.
- Reconfirmation workshop to occur (phone call—principals only).
- Have draft administrative checklist (Appendix B) and know potential location of workshop.
- List of potential pre-workshop and workshop participants.
- Copies of this Guide made available to all workshop principals and/or the Guide will later be available at: https://daunet.dau.mil/MDAP/MARU/default.aspx See Shared Documents.
- Obtain any supplementary materials.

Module Content
- Provide introduction as needed.
- DAU Facilitator ensures all Module 0 stated objectives are addressed, manages commitments by presenters, elapsed time allocation per topic, and materials needed. Pre-workshop agenda setting meeting facilitator duties can also include:
  — Detailed description of the entire workshop including topics, objectives, inputs and outputs, assessment of work accomplished to-date including status of IPT charters.
  — Provide scheduling support and module-by-module detail. See Figures M-0-1 to M-0-4.
  — PM's presentations.
  — Working with PMs, tailor pending workshop agenda (Modules 1-9, as adjusted/required).
  — Workshop logistics.
- Roles and responsibilities; adjust Appendix B and other checklists. Industry facilitator's availability and participation identified.
- Program manager's "one on one" agenda discussed.

Outputs/Reports (Facilitator coordinate/take for action)
- PM approval for workshop initiation (Modules 1-9).
- Workshop start date.
- PM approval of workshop location, dates, administrative and other checklists.
- Continuing pre-workshop activities and tasks assigned and acknowledged.
- PM approved participant list.
- Way forward on joint charters.
- Facilitation teams roles and responsibilities defined.
  — Government contracting officer must present module on meeting post-award workshop contractual requirement, if scheduled as a workshop module.
- Tailored workshop agenda. Examples displayed below: Pre-Workshop Agenda Planning-Agenda Setting Meeting Objectives (Module 0), Figure M-0-1; Nominal 2½ Day Agenda, Fig-

ure M-0-2; Nominal 2½ Day Schedule, Figure M-0-3; and Nominal 4½ Day Agenda, Figure M-0-4. The two nominal agendas and the one schedule are provided as points-of-departure for planning.

- Workshop participants' roles and responsibilities defined.
- Point-of-contact list of key players, including presentation managers.
- List of actions and assignments for workshop preparation (Modules 1-9).
- Workings with the government PM only, develop a PM-approved estimate of DAU workshop reimbursable cost and process a DD Form 1144 Support Agreement.

Appendix B is a recommended administrative check-list that can be applied by the DAU Facilitator for both organizing the Pre-Workshop Agenda-Setting Meeting (this Module) and establishing tasks to be completed during the meeting. The origination and documentation of most materials noted in the appendices to this Guide is the responsibility of the DAU facilitator. Thus, the DAU facilitator, based on the pre-workshop, should be able to tailor and provide documentation (handouts) to the program coordinators for each agreed workshop module.

Pre-Workshop Agenda Planning-
Agenda Setting Meeting Objectives

	Day 1	Day 2	Objectives

Day 1   **Day 2**   **Objectives**

Time	Day 2 Agenda	Objectives
8 am	- Purpose of a team Startup Workshop	• Meet key workshop participants
9 am	- Leader readiness assessment to hold a workshop	
10 am		• Identify workshop attendees
11 am	- Define desired outcomes of the workshop	
12 pm		• Establish workshop date and location
1 pm	- Decisions on tailoring the workshop in the context of all program startup activities	
2 pm		• Tailor workshop agenda
3 pm	- Identify workshop team participants	
4 pm		• Plan workshop logistics and assign action items
5 pm	- Agree on dates/ location	

Day 1: Dinner/ Social Event

3/27/2008

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Figure M-0-1, Module 0

This is a notional scheduled (with a private dinner or social event) with the assumption that the PMs or other attendees and their counterparts need to establish a professional relationship with a high degree of understanding of their counterparts personal management style and professional demands within his or her organization.

Nominal 2½ Day Agenda

	Tuesday	Wednesday	Thursday
7:30 am		User Viewpoint	IPT Working Sessions
8 am			
9 am		Program Startup (IBR) Overview	
10 am		Contract Baseline & Change Mgt.	
11 am			Working Lunch
12 pm		Working Lunch	IPT Status -Charter update -Responsibility -Accountability -Risk Register -IBR Planning -IMP/IMS Issues -Comm. Plan -Near term deliv.
1 pm		Program Metrics & Best Practices	
2 pm	Welcome	Program Risk & Opportunity Mgt	
3 pm	Team Introductions	IDE	
4 pm	Program Startup Workshop PMs	IPT Structuring & Chartering	
5 pm			Action Items & PMs Wrap-up
6 pm	3/27/2008	Social/Dinner	

Figure M- 0-2

Nominal 2½ Day Workshop Schedule

Event	Briefer	Event	Briefer	Event	Briefer
		0730-0745 Recap	PMs/DAU	0730-0745 Recap	PMs/DAU
		0745-0830 User Viewpoint/Reporting Reqts	Users	0745-1130 IPT Working Sessions	IPT Leads
		0830-0915 Program Startup (IBR) Overview	DAU Cont./Gov.	1130-1200 Working Lunch	
		0915-0930 Break		1200-1500 IPT Status —Charter Update —Responsibility —Accountability —Risk Register —IBR Planning —IMP/IMS Issues —Comms Plan —Near Term Deliveries —GFE Review	IPT Leads (Co-Brief) Facilitator (Moderator)
		0930-1130 Contract Baseline, Incentives, & Change Mgmt	DAU Cont./Gov.		
		1130-1200 Working Lunch			
		1200-1245 Program Metrics/Best Practices/IDE	DAU Cont./Gov.		
		1245-1345 Risk & Opportunity Mgmt / IMP/IMS	DAU Cont./Gov.		
1400-1415 Workshop Overview	DAU	1345-1415 Comm./Collaborative Workflow	DAU Cont./Gov.		
1415-1430 Introductions	Govt./Cont. Executives	1415-1430 Break			
1430-1515 Program Strengths/ Barriers to Success	DAU	1430-1730 IPT Working Sessions	IPT Leads	1500-1630 PM Review —Path to IBR —Action Items —Team Challenges	PMs Facilitator (Moderator)
1515-1630 PM Values & Vision	PMs	1730-2030 Dinner & Social			

Figure M-0-3

Nominal 4½ Day Agenda

	Day 1	Day 2	Day 3	Day 4	Day 5
8 am		15 min. morning kick-off	15 min. morning kick-off	15 min. morning kick-off	15 min. morning kick-off
9 am	Program Startup Workshop Orientation	Program Contract & Funding Baseline	Program Strategy (Values, Vision Mission & Goals)	IPT Structuring & Chartering	Plan for Program Start-up Review — Affirm schedule, immediate priorities & parking lot
10 am					PMs Wrap-up
11 am			Program Metrics IDE		Team Handbook Signing
12 pm	Lunch	Lunch	Lunch	Working Lunch	
1 pm	Program Startup (Government & Industry Processes including structured checklists)	Contract Change Management "Test the process or pending change" Include Conflict Resolution	Program Metrics	8 IPT Structuring & Chartering	
2 pm			Program Risk & Opportunity	Report-out	
3 pm					
4 pm				IPT Time	
	15 min. wrap-up/next day	15 min. wrap-up/next day			
5 pm	Social Event				
6 pm			Team Dinner		
			15 min. wrap-up/next day		

Figure M-0-4

In most cases, there should be two workshop events vice a 4½ day workshop, both to enhance productivity and avoid fatigue (participants doing their job and participating in the workshop) The APTW can be tailored into segments depending on program needs, or there can be side meetings to address specific topics. Generally, the pre-meeting should attempt to understand process maturity relative to the modules. If process development or training is needed, two segments may be justified. An example is the program need for EVM system discussions (a side session) or a short training session on EVM application for the attendees.

Appendix B—Module 0 (cont).
Facilitator's Checklist

Pre-Workshop Agenda-Setting Meeting

Workshop Participants
- Government and industry PMs identified and fully supportive of workshop.
- Government contracting officer and industry contract manager identified.
- DAU facilitator and assisting facilitators identified and their roles assigned.
- Workshop participant list established.
- Administrative and logistics support personnel identified.

Workshop Design
- Reaffirm workshop objectives.
- Tailor each workshop module (daily schedule, module topics, content, depth and breadth.)
- Review and modify comprehensive plan for the sequential presentation of all workshop modules as needed.
- Discuss plan for next steps and follow-up after workshop.

Workshop Inputs
- Create list of required workshop inputs (from module summaries).
- Draft selected workshop inputs (during planning meeting).
- Assign responsibilities and dates for remaining inputs.

Workshop Materials
- Identify all workshop materials (briefings, handouts, etc.).
- Discuss participant workbook, CD or Web access to materials.
- Schedule and point of contact to coordinate workshop materials.
- Determine participant pre-workshop requirements (and deliverables).
- Participant bio sheets (provided if included).

Workshop Logistics
- Establish workshop dates and location.
- Reserve meeting space (industry team to host workshop).
- Review meeting room design and approve layout.
- Review travel requirements and create travel plan.
- Review food, break/snack, and social requirements and create plan.
- Review audiovisual, computer, telephone, and copier requirements and create plan.
- Plan for formal group photo and candid photos during workshop (optional).
- Create outline for workshop invitation and focal point to accomplish.
- Assign responsibilities for all logistics and administrative activities.

Workshop Outputs

- Create list of required workshop outputs (from module summaries).
- Develop process for recording and tracking workshop action items (a running log).
- Develop a process for follow-up on action items.
- Develop process for evaluating workshop effectiveness.

Appendix C—Module 0 (cont).
Facilitator's Work File

Program Manager's ONLY "One on One" Discussion Topics

Personal Sharing
- Family/Hobbies
- Personal Goals/
- Potential next jobs

Personal Management Styles
- Soft Skills
- Meeting Management
- Mentoring/Team Development
- PM to PM communications frequency and normal depth

Corporate/Government Personal Objectives
- Performance evaluations
- Program goal setting
- Management expectations for program

Corporate metrics for PM through appropriate VP
- Cash flow including timing
- Booking Sales
- Profit targets
- Other target
- Qualify for and receiving contract incentives

Government
- PPBES
  —Planning process
  —Government costs in addition to contract costs
  —Sponsor relationships

Other
- Team strengths/weaknesses and potential for change
- Conflict Resolution

Appendix D—Module 1.
Workshop Orientation

Intent of the Module: *PMs, their senior staff and facilitator (1) tailor workshop modules to near- and long-term program goals, and (2) plan/schedule workshop logistic details.*

Module Success: *Responsibilities assigned and accepted for executing detailed workshop preparation tasks.*

The DAU Facilitator should prepare for this module by addressing and documenting/coordinating, as a minimum, the following topics:

Administrative
- Completed (reviewed and confirmed) Module 0 and other checklist.
- Copies made of all Workshop materials identified in Workshop Agenda-Setting Meeting by contractor and/or government PMO.

Assumptions
- Workshop Agenda-Setting Meeting has been completed.
- All logistical pre-work actions have been completed.
- Attendees commit to fulltime participation in the workshop.

Objectives
- To orient attendees to the workshop agenda and objectives and to create a New Program Startup Plan.
- Define the purpose of the workshop.
- Create an environment of teamwork, open communication and trust.
- Educate government and industry teams on effective program startup actions.
- Produce key program startup products.
- PMs share "Best Practices" with attendees.
- Establish workshop protocols and expectations.
- Identify and address attendee issues and concerns.
- Review financial management of the program.

Inputs/Prerequisites (All Facilitator actions coordinated with PMs)
- Facilitation Team roles and responsibilities defined.
- Workshop participants' roles and responsibilities defined.
- Facilitation Guide available (on-line or hard copy).
- Participant list with contact information/biographies.
- Pre-workshop activities completed.

Module Content

- DAU facilitator, as assigned in the Pre-Workshop Module 0, structures the Module 1 Workshop Orientation meeting topics, elapsed time allocations per topic, topic presenter and material needed to correspond with workshop expectations established by program managers.

    — Workshop Kickoff:
    To begin the Workshop, the DAU Facilitator will introduce the purpose and history of the Program Transition Workshop, setting the expectations for the type of experience participants are about to have. Facilities and site information will be addressed.

    — New Program Managers Welcome:
    The contractor and government new program managers start the meeting by welcoming the participants and sharing their visions for the new program.

    — Macro overview:
    By users, sponsors, DoD and contractor executives as appropriate for program scope and phase.

    — Workshop Overview:
    The facilitator leads the team through an exercise to address the following items:
    - Workshop Participant Introductions:
      —Your name.
      —Title/role on the program.
      —Current job, location and organization.
    - Address workshop objectives and any additional overview.
    - Address participant expectations of the workshop.
    - Establish workshop agenda and formatted content of each module, i.e., administrative, assumptions, objectives, inputs/prerequisites, module content, and outputs/reports as structured in this Guide. Include provisions for each module's IPTs, the Charters and IPT actions and reports.

    — Barriers and Bridges (Force Field) Exercise:
    Either one or both PMs will lead an exercise to begin the communication process. The "Barriers and Bridges" or (success factors—good points) and restraining (problems, pitfalls—bad points) forces affecting successful execution of the program exercise allows team members to discuss strengths and common problems of the New Program and allow them to address these problems from the very beginning. The intent is to create an open environment and to get items out on the table so participants can address them.

    Facilitator will collect/group inputs for discussion at end of day or NLT morning recap. This can be used to chart progress of workshop.

Alternatively, a workshop expectation exercise may be used to track progress.

— The government PM leads an overview of new program financial management with a discussion of Integrated Data Environment (IDE).

Outputs/Reports
- Introductions.
- Leaders' vision captured.
- Workshop role clarity.
- "Parking Lot" items.
- Workshop expectation list.
- List of relevant observations from the issues and agendas flowing from Barriers and Bridges/ Force Field/Good Point-Bad Point exercise.

Appendix E—Module 2.
New Program Startup Plan to Integrated Baseline Review (IBR)

Intent of the Module: *Identify and connect respective start-up processes, IPTs, and review IMP and IMS; address pending IBR.*

Module Success: *Government IPTs understand industry IPT structure, need for alignment and the roadmap leading to a successful IBR and EVM reporting.*

The DAU Facilitator should prepare for this module by addressing and documenting/coordinating, as a minimum, the following topics:

Administrative
- Support for Module 2 IPTs.

Assumptions
- Both contractor and the government will provide a presentation to describe their Startup Processes.
- Contract New Program Plan & Schedule exists (IMP/IMS, if specified).

Objectives
- Identify connects/disconnects between contractor and government startup processes and determine how to address these connects/disconnects for the program.
- Identify integration points between the contractor and government startup processes.
- Introduce the government and contractor expectations for IBR.

Inputs/Pre-requisites
- Integrated Baseline Review, Defense Acquisition Guidebook, https://akss.dau.mil/dag/ , Chapter 4 and 11.
- Integrated Baseline Review (IBR) Material. The following Web page contains numerous IBR references, some of which are repeated below.
- http://www.acq.osd.mil/pm/ibrmats/ibrmats.htm
- The Program Managers' Guide to the Integrated Baseline Review Process (DoD), of April 2003. http://www.acq.osd.mil/pm/currentpolicy/IBR_Guide_April_2003.doc
- See the DCMA DoD Earned Value Management Implementation Guide (EVMIG), October 2006, Part 2 Section 4, for excellent overview of IBR process and guidance.
- USD (AT&L) Memo of July 3, 2007, Subj: Use of Earned Value Management (EVM) in the Department of Defense. http://www.acq.osd.mil/pm/
- DoD Earned Value Management (EVM) Contract Requirements Checklist, Oct. 23, 2007.
- http://www.acq.osd.mil/pm/documents/EVM_Contract_Req_Checklist_oct07.doc
- Draft IBR Roadmap (prepared as pre-work) with IPT tasks. (industry PM)
- IMP/IMS top level summaries (both government and contractor, as appropriate). (govern-

ment and industry PMs). Integrated Master Plan and Integrated Master Schedule Preparation and Use Guide, Version 0.9 of Oct. 21, 2005. Go to DAU Acquisition Community Connection and select IMP or IMS.

- DoD 5000.04–M–1, Cost and Software Data Reporting (CSDR) Manual of April 18, 2007. http://www.dtic.mil/whs/directives/corres/pub1.html
- Have the IBR topics noted in the Defense Acquisition Program Support Methodology, Version 2.0, Change 3: March 20, 2009, been addressed? Search on Defense Acquisition Program Support Methodology
- Risk management integration. (government and industry PMs).
- Opportunity management integration (government and industry PMs).
- Critical path analysis. (industry PM).

Module Content
- Each PM reviews their individual program startup processes. Facilitator integrates these startup processes and encourages the teams to investigate thoroughness and disconnects.
- Rolling Wave Planning Concept addressed.
    —Scope
    —Schedule
    —Budget

Outputs/Reports
- IPT validated IBR roadmap (Project schedule key milestones are identified and supporting schedules reflect a logical flow to accomplish the work)—(The Startup Plan)
- Structured and disciplined Startup process tailored to the program.
- IBR Process
    — Scope of work identified with need to extend to control accounts and work package level.
    — Schedule in terms of need to arrange the work packages in order and schedule.
    — Budget in terms of need to classify the wok and select an EV technique; budget the work packages; spread the budget over time; and calculate cumulative BCWS.
    — Example results: Search Google "Navy IBR"

Appendix F—Module 2 (cont).

Integrated Baseline Review (IBR) Considerations

The following questions can be answered yes or no. Some can be answered before the IBR. The industry PM should be made aware of all the questions well before the IBR.

Pre-IBR questions:
1. Does the entire government IBR team possess the skill to plan for and execute an IBR?

2. Does the entire industry IBR team possess the skill to plan for and execute an IBR?

3. If the answer to Question 1 or 2 is "no," has there been a provision made for one or two days of IBR team training?

4. Has it been determined that industry engineers and control account managers (CAMs) will have sufficiently equal knowledge of a given work package?

5. Has it been determined that the industry teams, particularly junior members, are qualified for their assigned technical task?

6. Do the CAMs own the resources that Industry states (displays) as being available for a given task?

7. Is the Sub to Prime reporting system adequate?

8. If there is a separate system integrator?

9. If the answer to Question 8 is "yes," name the integration contractor.

10. Are the right people scheduled to attend/participate in the IBR?

11. Do both government and the contractor have metrics for measuring IBR progress?

12. Will the government PM need to hire a service contractor to fill out IBR team or as IPT members?

During or post-IBR questions:

13. Did the right people attend/participate in the IBR?

14. Did the government PM hold the contractor to comprehensive, exact and specific criteria relative to the executed IBR?

15. Does the government PM have an aggressive and functioning system to ensure timely closure of incomplete/post-IBR actions?

16. Subsequent to the IBR, particularly a satisfactory IBR, will the contractor guarantee its PM will continue in that assignment for a minimum of one year?

17. Do the IPT Co-leads from government and industry fully understand each other's roles and specific responsibilities?

18. Have both PMs completed the IBR with high confidence that funds are adequate for the stated task(s)? If not, the money must be provided.

19. Did the IBR establish the contractor's baseline to be used for performance measurement to ensure complete coverage of the SOW, logical scheduling, adequate resourcing and risk? See DFAR 252.234-7002 (e), May 18, 2011.

Appendix G—Module 2 (cont).
Government PM Lessons Learned (2 of 3)

Earned Value Management (EVM) Preplanning Considerations

The following are downstream EVM lessons learned, all linked to the IBR, that the PM should be considering (even before contract award) and have allocated to his/her staff if EVM is required on the program.

1.   The EV contract clause

2.   Have copies of the CFSR, and IMS CDRLs and DIDs

3.   Have solid comprehension of the following:

    a.   The planned battle rhythm for analyzing, discussing and using EV in the program office and with the contractor

    b.   What is the planned EV analysis?

    c.   What EV metrics/info should be reviewed?

    d.   Role of DCMA vs. the program office

    e.   Strategy for the IBR and review of the contractor's Performance Measurement Baseline (PMB).

    f.   How EV will be linked to the risk management process

    g.   How EV should be complemented with the IMS and Technical Performance Measurement (TPM)

    h.   How to ensure funding is adequate by program phase, quarter, fiscal year and total.

Appendix H—Module 3.
(a) Contract Baseline;
(b) Change/Scope Management; and
(c) Subcontractor Management

Intent of the Module: *Free and open discussion of contract specifics.*

Module Success: *Broad understanding of the contract and subcontract status and requirements.*

The DAU Facilitator should prepare for this module by addressing and documenting/coordinating, as a minimum, the following topics:

Administrative
- Copy of contract or key sections.
- Key sections of Federal Acquisition Regulations (FAR) and Defense Federal Acquisition Regulation Supplement (DFARS).

Assumptions
- Government contracting officer, administrative contracting officer and contractor's contract manager will attend and lead the contract review.
- PMs, government contracting officer and contractor's contract manager will have mutually supportive attitudes.
- Appendix I: DAU Module 3, Facilitator Contract Baseline; Change/Scope Management; Subcontractor Management Checklist is being executed.

Objectives
- Introduce government contracting officer, administrative contracting officer and contractor's contract manager.
- Establish a mutual understanding and interpretation of the contract and work to be done.
- Establish a mutual understanding of current program status.
- Establish a mutual understanding of how to manage and control changes to the contract.
- Minimize the impact of Scope change on the program by reviewing potential causes of change and defining a process to manage scope change on the program (problem resolution).
  —Recognize the causes and effects of change on a program.
  —Introduce a process to manage contract change.
- Explain subcontracting obligations (e.g., Privity of contract, Primes responsibility for administration. Consent to placement, Small Business Subcontracting).

Inputs/Prerequisites
- Contract (Contracting Officer)
- Contract Point of Contact List, including Contracting Officer's Representative (COR) and Administrative Contracting Officer (ACO).

- New Program Point of Contact list (Facilitator)
- List of all contract deliverables (DD 1423 etc.) (Contracting Officer)

Module Content
- Introductory remarks by facilitator and PMs. The remainder of this presentation is provided by the government contracting officer, administrative contracting officer in conjunction with the contractor's contract manager.

(a) Contract Baseline
- Contract walkthrough:
    —CLIN Structure
    —Options
    —Delivery and acceptance
    —Special contract requirements
    —Contract clauses (See final note of this Appendix)
    —Funding and payment, including required notifications and billing instructions
    —Contract incentives
    —Intellectual Property
- Identification of changes

(b) Change/Scope Management
- Function and authority of government personnel:
    —Contracting officer
    —Administrative contracting officer
    —Contracting officer's representative
    —Other government personnel
    —Unauthorized commitments and ratification
- Contractor and government change management processes:
    — Contract scope
    — Types of contract changes
    — Government Configuration Control Board (CCB) and contractor change process
    — Equitable adjustments
    — Contract claims and resolution. Resolving issues at the lowest level, use of alternative dispute resolution (ADR), and the Armed Services Board of Contract Appeals (ASBCA).
    — Tailoring the Change Management Process
- Use an existing change to facilitate discussion of roles and responsibilities in the change process to get from an identified need through Configuration Control Board (CCB) to contract modification (i.e., change order, supplemental agreement).
- "Rules of the Road":
    — Contractor should request contract modification in writing.
    — Contract changes must be implemented by the contracting officer or ACO. The contracting officer's representative may provide guidance within authority delegated by the con-

tracting officer.

— Individuals or IPTs shall not direct any changes that contradict the terms and conditions of the contract.

— If in doubt, check with the contracting officer.

(c) Subcontractor Management

- Discuss privity of contract and government and contractor roles and responsibilities, including the role of DCMA and the ACO in Contractor Purchasing System Review (CPSR).
- Define and identify major and non-major subcontractors.
  —Subcontractor's roles experience and risks/opportunities.
- Corporate subcontract management policies, processes, tracking and reviews, including small business subcontracting program.

Outputs/Reports

- Understanding of current status and contract requirements.
- Understanding change management.
- Exposure to contractor's subcontract management.
- Identification of contract issues that need clarification and identification of potential changes.
- Contract Points of contact list (updated).
- Understanding of roles and responsibilities of DCMA and the ACO.
- Understand the contractor's and government's approach to problem resolution.

Note: The following wording is offered for consideration by the program manager and contracting officer for insertion into the statement of work (SOW) or performance work statement (PWS) of the RFP and/or contract.

NEW OR REVISED PROGRAM POST-AWARD CONFERENCE

(a) A program post-award conference workshop with the contractor is required. It will be scheduled within _____ [insert number of days] days after the date of contract award. The conference is anticipated to be _____ [insert number of days] in length. The conference will be held at _____ [insert place]. The objective of the conference is to align the government and contractor teams. The implementation will be focused on Integrated Baseline Review (IBR) planning and joint government/contractor program manager and Integrated Product Team/Integrated Process Team (IPT) management processes emphasizing earned value management principles.

(b) The requirement for a program post-award conference workshop shall in no event constitute grounds for excusable delay by the contractor in performance of any requirements of the contract.

Appendix I—Module 3 (cont).
Facilitator's Checklist

(a) Contract Baseline;
(b) Change/Scope Management; and
(c) Subcontractor Management.

Module Participants
- Government and industry PMs, government contracting officer, and industry contract manager
- DCMA representatives, including administrative contracting officer (ACO)
- DAU facilitators (contract management)
- Workshop participant list established
- Administrative and logistics support personnel identified

Module Design
- Reaffirm module objectives
- Tailor workshop module (schedule, module topics, content, depth and breadth)
- Review and modify plan for presentation of Module 3 as needed
- Discuss plan for next steps and follow-up after workshop

Module Inputs
- Create list of required module inputs (from module summaries)
- Draft selected module inputs (during planning meeting)
- Assign responsibilities and dates for remaining inputs

Module Materials
- Identify all module materials (briefings, handouts, etc.)
- Discuss inputs to participant workbook, CD or Web access to materials (optional)
- Schedule and point of contact to coordinate module materials

Module Logistics
- Review meeting room design and approve layout
- Review audiovisual, computer, telephone, and copier requirements and create plan
- Assign responsibilities for all logistics and administrative activities

Module Outputs
- Create list of required module outputs (from module summaries)
- Develop process for recording and tracking module action items
- Develop a process for follow-up on module action items
- Develop process for evaluating module effectiveness

Appendix J—Module 4.
Preliminary Design Review (PDR) or
Other Systems Engineering Design Reviews

Intent of the Module: *To prepare for future configuration verification events, audit planning and pre-audit preparation.*

Module Success: *Understand the purpose of the government's future SE-oriented visits to the contractor is to observe design progress, observe test events and document the review.*

The DAU facilitator should prepare for this module by addressing and documenting/coordinating, as a minimum, the following topics:

Administrative
- The following three canceled documents all contain information applicable to current program design reviews. They contain excellent process and metrics and can be found at: https://assist.daps.dla.mil/quicksearch/
  — MIL-HDBK-61A, 7 Feb 2001, Section 8.3, Configuration Management Guidance
  — MIL-STD-1521B (USAF) Technical Reviews and Audits for Systems, Equipment, and Computer Software
  — MIL-STD-973 Configuration Management
- Defense Acquisition Guidebook, Chapter 4— Systems Engineering
- The following three documents can be searched for on Google for general information or the below "control/click" points for direct access to purchase.
  — "Processes for Engineering a System", ANSI/EIA-632-1999 at http://webstore.ansi.org/RecordDetail.aspx?sku=ANSI%2FEIA-632-1999
  — "Standard for Application and Management of the Systems Engineering Process-Description," IEEE Std 1220-1998, IEEE, 1998
  — "Systems and software engineering - System life cycle processes," ISO/IEC 15288:2008, ISO/IEC, 2008

Assumptions
- All government program documents are available and kept current

Objectives
- Lay the groundwork for future configuration verification events, audit planning and pre-audit preparation
- Understand the purpose of government's future SE-oriented visits to the contractor are to observe design progress, observe test events and document review

Inputs/Pre-requisites (Gov't Documents-phase sensitive—partial list only)

- Acquisition Strategy
- Systems Engineering Plan (SEP)
- Integrated Master Schedule (IMS)
- Applicable Contract CDRLs
- IBR Roadmap

Module Content
- At the IPT level, propose and discuss expectations in terms of both government and industry audit planning, pre-audit preparation, and conduct of an audit.
- Discussions of Audit Certification Checklist content. See MIL-HDBK-61A, Appendix E, Sample Configuration Audit Certifications

Outputs/Reports
- Each IPT provide a brief on their level of comprehension of the processes related to the purpose of design reviews and plan for accomplishing planning for the next program audit.

Appendix K—Module 4 (cont).
Government PM's Checklist

Preliminary Design Review (PDR) or Other Systems Engineering Design Reviews

1. Are functional baseline related documents, from the completed System Functional Review (SFR) (or other prior review), available for use by the PDR or other review team?

2. Do the above documents address the 5 issues noted in paragraph 4.3.2.4.2.2. of the DAG that an SFR should provide?

3. Similarly, do the above documents address the 16 typical SFR success criteria noted in paragraph 4.3.2.4.2.2. of the DAG.

4. Have the design review topics noted in the Defense Acquisition Program Support Methodology, Version 2.0, Change 3: March 20, 2009 been addressed? See: p. 312/313
   Search on: Defense Acquisition Program Support Methodology

5. Relative to MIL-HDBK-61-A, Paragraph 8.3 with Tables and Appendix E, as apply to a PDR or other review:
   - Government only and government/contractor pre-review actions noted in Table 8-1 will be completed prior to the design review
   - Government/contractor pre-review introductory actions noted in Table 8-2 will be completed prior to the design review.
   - Government audit sub-teams will be prepared to conduct review, and document the review in accordance with Table 8-2.
   - Government executive panel and team leaders are prepared to execute post-review actions noted in Table 8-2 and 8-3.
   - Government personnel understand Appendix E certification responsibilities as applicable to a PDR or applicable review.

Appendix L—Module 5.
Integrated Product Team (IPT), Structuring and Chartering

Intent of the Module: *Address completing IPT charters and alignment of Government IPTs with Industry IPTs.*

Module Success: *Established product oriented and aligned IPTs that have developed a preliminary joint risk/opportunity register.*

The DAU facilitator should prepare for this module by addressing and documenting/coordinating, as a minimum, the following topics:

Administrative
- Preliminary program team structure.
- Work Breakdown Structure (WBS).

Assumptions
- DAU Module 5, Facilitator Integrated Product Team (IPT) Chartering
- Checklist/Template, Figure M-5-1, below, is being executed.

Objectives
- Identify characteristics of contractor's and government's organizations and applicability to an IPT program structure.
- Recognize how phase-driven organizational change relates to program team structure and program execution.
- Describe the process used to align the Program Team Structure to the appropriate Work Breakdown Structure and program goals.
- Define teams' roles, responsibilities and interdependencies by documenting IPT Team Charters.
- Specify IPTs to be created.
- Designate members of each IPT and IPT Leads.
- Identify preliminary Integrated Product Team risks/opportunities.

Inputs/Pre-requisites
- Preliminary Team Structure with government mapping to contractor's IPT structure.
- Appropriate Work Breakdown Structure allocations
- Top level IMS/IMP
- Government and contractor risk/opportunity registers.
- Be well informed on contract DD1423, Contract Data Requirements List (CDRLs), CDRL Price Groups and Data Item Descriptions (DIDs) as would apply to industry IPT reporting to the government.
- Draft team charters.

- Responsibility listing (see attached)
- An essential IPT reference is OSD *Rules of The Road, A Guide for Leading Successful Integrated Product Teams,* Revision 1, October 1999. Search this title on Google.

Module Content
- Both PMs designate team member IPT assignments with a government and contractor co-lead.
- PMs and facilitator tailor the content for the module, depending on the maturity of the established program processes. The facilitator will discuss the purpose, value, and process to align the preliminary Program Team Structure with the appropriate Work Breakdown Structure and the Program Success Criteria

Outputs/Reports
- Revised Integrated Program Team Structure.
- Documented IPT Charters with team roles, responsibilities and interdependencies
- Identification of preliminary Joint IPT risk/opportunity register and joint management methods.
- Agreement and understanding of industry and subcontractor's reporting obligations.
- Government timely use of uncertified EVM data from industry.

Chartering Checklist/Template

Joint _____ IPT Charter Format

Format is applicable to product, functional or other types of government/industry joint IPTs.

IPT Name	Product or Functional Area, or other Topic assigned to the IPT	
Team Lead:	Each PM will designate one IPT team member each as co-IPT team leads.	
Purpose	To establish a joint government/contractor (_____) IPT to manage the (Technology Development) Phase of the (_____) program for (a stated period).	
Responsibilities:	The ____ IPT has responsibility for providing: (contract deliverables and documents). The ____IPT is responsible for (architecture or plans, identifying ____)	
Authority:	The ____ IPT has authority to: (identify, assess, impose, ensure).	
Accountability:	The ____ IPT owns and is accountable for: (originating, generating, maintaining ____ documents or products). The ____IPT does not own ____ but is responsible to _____ , the owner, for (content, testing, design, etc.)	
Team Interfaces & Inter-dependences:	a) Up b) Down c) Horizontally	
	Industry PM	Government PM
Signatures/Dates		

Attachments:

Attachment (1) _____ IPT organizational chart:
- Include subcontract members.
- The following table, structured as appropriate, or a wiring diagram will work.

Attachment (2) Joint risk and opportunity register:

- ____ IPT internal processes for risk/opportunity identification/management/retirement.
  - Develop an analysis method, display format, and regular PM to PM reporting requirement/rhythm that addresses risk & opportunity (R/O) by IPT (and supplier?). This would include for each IPT/ (Supplier?):
    - Description of each of the R/O(s), and then for each (R/O),
    - Previously reported R/O total cost/schedule impact
    - Current R/O total cost/schedule impact
    - Start date of next transition step within the mitigation plan for a specific R/O and confidence mitigation step will occur when planned
    - Date R/O mitigation plan will be fully implemented
    - Date R/O will be retired

Use an appropriate number of rows and columns.

Attachment (3) Battle Rhythm (Communications plan for implementing Joint PM Guidelines):

- Regular cyclic meetings and scheduling
- Key planning and assessment cycles
- Key IPT reports and products (See Accountability format block and Attachment 2)
- Communications Plan. The Communications Plan defines the detailed reporting requirements from the Joint IPT to the PMs. The following documents apply:
  - Agenda and Objectives
  - Identically formatted backup documentation employed in each PM to PM performance review cyclic meeting
  - Changes from a dated prior status for a given topic to a current status for the same topic are clearly noted.
  - Meeting Minutes (generated for each meeting)
  - Consolidated Action Item List (updated weekly)
- Meeting Topics. The Joint IPT meetings is a forum to discuss the following:
  - IPT product/task scheduling
  - IPT task and work package status (including EVM status, cost, schedule and performance)
  - Risk/opportunity identification, management, and tracking
  - Technical Issues (requirements, quality, test, performance measures)
  - IPT coordination among all Program stakeholders
  - IPT dependencies.
  - Action Items and Resolutions
  - Related Meetings, provisions for sidebars, need for PM attendance

     — Conflict resolution
- Provisions for obtaining specific data, maintaining currency of the data, and data sharing.
- Supporting Activities and security matters unique to each IPT.

Figure M-5-1

Appendix M—Module 5 (cont).
Government PM Lessons Learned (3 of 3)

Integrated Product Team (IPT), Structuring and Chartering

Prior to contract award, government PM has planned to participate in the post-award workshop.

1. Prior to contact award government PM, working with industry PM, has completed alignment of joint IPTs

2. During or prior to the Pre-Workshop Agenda-Setting Meeting, Module 0, joint expectations are discussed with industry PM.

3. PM has scheduled his/her personal participation in the workshop and IPTs in particular.

4. A Workshop is an opportunity for the PM to demonstrate leadership and provide program management training. He/she has prepared accordingly.

5. PM is prepared to address program management basics using contractual materials and DoD-based IPT principles.

6. PMs have allocated the PMO workload and have trained his/her people accordingly.

7. PMs have addressed "hands-on" application level actions that need to be coordinated with the contractor. These are action items the government PMO staff (in a joint IPT context) must want to do if they hope to achieve program success and know that their PEO and PM will hold them accountable for performing i.e., IBR, SFR, PDR, CDR, etc.

Appendix N—Module 6.
Communications Planning/Collaborative Workflow

Intent of the Module: *To determine what, how and when informal information is to be communicated between the PMs, PM Staffs and IPTs and to discuss formal communications.*

Module Success: *Draft Communications Plan.*

The DAU facilitator should prepare for this module by addressing and documenting/coordinating, as a minimum, the following topics:

Administrative
- Individual notes on possible communication issues.

Assumptions
- Integrated Program Team Structure available.
- IPT charters available.
- There will be both formal and informal communication channels operating simultaneously.
- Contractor/PMO team data/workflow compatibility established.

Objectives
- Develop team communication plans.
    —Agree on a method to orient new team members to the program.
    —Identify management techniques and a resolution model for team conflict.
- Preliminary collaborative workflow processes identified.
- Government and industry should have a mutual understanding of each other's decision process.

Inputs/Pre-requisites
- Determine WHAT information needs to be communicated before identifying HOW this information will be exchanged (design the process to fit the requirement). (Facilitator and PMs)
    —Contractor internal/external "early warning" system.
    —Government inputs.
    —Mechanisms for establishing facts, drawing conclusions and making logical recommendations relative to appropriate and timely corrective actions.
- Draft IPT charters and assignments.

Module Content
- PMs offer introductory remarks about problem resolution.
- Facilitator provide "essentials of communication" discussion, addressing:
    —Causes of Conflict.
    —Techniques for managing problems.

   —Process for problem resolution.
- Employ IPT process in developing the two communication plans.
- Each group will be responsible for identifying the information they require within a team communication plan. Each group will out brief their findings to the program team in the IPT Structuring and Chartering Module.
- PMs will refine their daily/weekly and monthly communication plan.

Outputs/Reports
- Team communication plan.

Appendix—O Module 6 (cont).
Government/Industry PM's Checklist

Communications Planning/Collaborative Workflow

1. Understand, accept and be aware of the common barriers to communications that may impact both government and industry teams, such as:
   - Said is not necessarily heard/written is not read
   - Heard/read is not necessarily understood
   - Understood is not necessarily agreed upon
   - Agreed is not necessarily acted upon
   - Acted is not necessarily repeated

2. Informal Communications: Ensure both PM staffs open informal communications channels with the understanding that certain matters must migrate to a formal communication in a timely manner.

3. Encourage Joint IPT Teams and others to employ a philosophy of a collaborative workflow.

4. Act on and employ, as appropriate, the guidance noted in Appendix N.

5. Formal Communications: Each government/industry joint IPTs (product, control account, WBS item) have originated and published a formal communications plan(s) in terms of (1) Topic(s) to be addressed/status to be reported, (2) format as appropriate, (3) frequency/timing, (4) method (in-person, discussion, briefing, video, telephone, electronic data, etc.), (5) points of contact if not IPT team leads, (6) disposition of action items, approvals, who receives minutes/summary.

6. Six Communications Actions the PMs and IPT Team Leads Should Do:
   - Develop an open and transparent culture
   - Encourage and value feedback
   - Use all relevant channels
   - Explain change
   - Be consistent
   - Live the message

7. Four Communications Items the PMs and IPT Team Leads Should Avoid:
   - Don't keep people in the dark
   - Don't spin
   - Don't forget the isolated
   - Don't neglect feedback

Appendix P—Module 7.
Risk and Opportunity Management

Intent of the Module: *Develop a government/industry shared risk/opportunity management process.*

Module Success: *A defined process including drivers, impacts, type and severity.*

The DAU Facilitator should prepare for this module by addressing and documenting/coordinating, as a minimum, the following topics:

Administrative
- Contract
- Contract WBS
- IMP/IMS

Assumptions
- New Program contract.
- Contract WBS
- IMP/IMS
- IBR pending or completed

Objectives
- Affirm the risk and opportunity management processes enabling industry and government teams to share and prioritize and plan for known and unknown program risks/opportunities.
- Explore the concept of "shared risks/opportunities."
- Characterize the process for identifying unknown risks and potential mitigating actions; or the handling of opportunities.

Inputs/Pre-requisites
- Contract Baseline and status review.
- Draft risk management process/plan. (contract CDRL)
- Organizational structure.
- Risks identified from earlier modules.
- Risk register, both positive (opportunities), and negative (risk).

Module Content
- Presentation by both PMs addressing (1) risk management process/tailoring, and (2) program risk identification.
- Strategy for managing opportunities: Exploit it; share it; enhance it; or accept it.
- Facilitator discusses risk management process.

Outputs/Reports

- Defined process.
- Define drivers, including impact, type, and severity of the driver.
- Defined roles and responsibilities in the risk/opportunity management process.
- Risk/opportunity update schedule.
- List of risks/opportunities, some potentially defined as urgent.

Appendix Q—Module 7 (cont).
Government PM's Checklist

Risk and Opportunity Management

1. Have read and complied with the DoD Risk Management Guide for DoD Acquisition, Sixth Edition (Version 1.0) of August 2006. http://www.dau.mil/pubscats/Pages/risk_management.aspx

2. Have addressed risk as part of an Integrated Baseline Review (IBR).

3. Have prepared a Risk and Opportunity Register. For general guidance see: http://www.bright-hub.com/office/project-management/articles/3247.aspx

4. Understand basic risk Root Cause Analysis. Current edition, Program Managers Tool; Kit: http://www.dau.mil/pubscats/Pages/Tool%20Kit.aspx

5. Have the risk topics noted in the Defense Acquisition Program Support Methodology, Version 2.0, Change Date: Jan. 9, 2009, been addressed? Search on title.

6. Defense Acquisition Program Support Methodology

7. Has Opportunity Management been addressed in all appropriate program documents and is being actively managed. Go to: http://www.dau.mil/pubscats/Pages/2007_05_06.aspx

8. This URL will provide you with the May-June 2007 edition of *Defense AT&L*. See page 35. Also see the January-February 2010 edition, page 34.

Appendix R—Module 8.
Program Metrics

Intent of the Module: *Review contract metrics that will track program success and comment on other PM/IPT communications.*

Module Success: *A mutually understood structure of government/industry contract metrics, processes and definitions that will measure program status and forecast future events plus agreement on how to get the best from IPT communications.*

The DAU Facilitator should prepare for this module by addressing and documenting/coordinating, as a minimum, the following topics:

Administrative
The contract and individual notes on program metrics.

Assumptions
- Each team will present its view of contract metrics and IPT communications

Objectives
- Create/adapt/employ tailored or existing Metrics and Metric processes that will support the IPTs.
- Understand the government and contractor's PM metrics, development and tracking processes, including contractual metrics

Inputs/Pre-requisites
- Contractors PM metrics
- Government PM metrics
- Metric definitions from the contract and Defense Acquisition Guidebook 5.0 and subordinate sections
- Process Models and actions leading to sustainment metrics

Module Content
- The Facilitator guides the participants through an exercise to develop/distill metrics from goals defined in a risk/opportunity module.
- Contractors PM presents company metrics process and view of contract metrics
- Government PM presents DoD metrics process, including contract metrics
- Metric methods reconciled

Outputs/Reports
- Mutual understanding of contract metrics and IPT communications.
- Completed charter for each IPT. See Figure M-5-1.

Appendix S—Module 9.
PMs' Wrap-up

Intent of the Module: *To ensure PMs appreciate the need for workshop teams to be fully informed of all progress, conclusions and recommendations flowing from the workshop.*

Module Success: *Agreement between PMs to conduct a comprehensive end-of-workshop team debrief.*

The DAU facilitator should prepare for this module by addressing and documenting/coordinating, as a minimum, the following topics:

Administrative
- Facilitator's/PMs' Workshop minutes

Assumptions
- Both PMs will plan to complete group debrief with all attendees present
- Both PMs may plan a second debrief for selected personnel

Objectives
- Confirmation of achievements and goal setting for the future

Inputs/Pre-requisites
- Facilitator's and PM's notes/memory and IPT inputs

Module Content
- Group session led by PMs and DAU Facilitator.

Outputs/Reports
- We have a "formed" program leadership team.
- We have established an environment of collaboration, trust, teamwork and communication.
- We have a common definition of success for the program.
- We have identified and agreed upon needed assumptions.
- We have affirmed how we will work together and our mutual expectations.
- We have acknowledged our key interdependencies.
- We understand what is involved in effective program startup.
- We accomplished as much productive mutual startup work as possible.
- We know what we need to do next.

Appendix T.
Facilitator's Report Format

Intent of the Module: *To ensure the Facilitator documents the results of the APTW in terms of conclusions and recommendations from both PMs, if possible, as well as the facilitator's own evaluation of the APTW.*

Module Success: *Timely documentation of both PM's thoughts on the APTW in narrative form prepared by the PM and/or the facilitator as a minimum. If possible, gaining the PM(s) cooperation in completing or responding to a structured set of questions asked by the facilitator; and/or the PM(s) completing a Regional or DAU standard post-APTW survey form is desired. The facilitator discussing these results with their supervisors will complete this action.*

Administrative
- Individual PM and facilitator notes
- Availability facilitator post-APTW interview questions.
- Availability of post-APTW survey forms

Assumptions
- PMs will cooperate on post APTW debrief effort

Objectives
- Document an objective and comprehensive record of the APTW

Inputs/Pre-requisites
- Obtaining PM commitment to this process during Module 1

Module Content
- An unrushed in-depth assessment of the APTW by the PMs and the facilitator

Outputs/Reports
- PM and facilitator documented recall of (1) pertinent facts plus (2) their post-APTW conclusions and (3) their recommendations.
- Employ DAU Regional formatted report.
- Facilitator sends APTW Metrics form to government and industry PMs via URLas part of DAU Metrics-That-Matter effort (when available).
- Plan and execute a post-workshop survey (3 to 6 months later) of both PMs on the value of the workshop in terms of "Return on Investment."